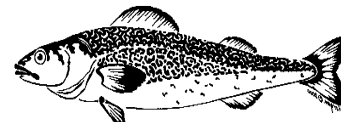
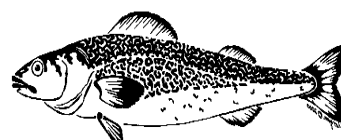
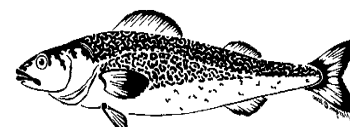


# 2001 REPORT TO THE FLEET

February 2002

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Alaska Region, National Marine Fisheries Service  
Restricted Access Management Program  
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# **REPORT TO THE FLEET (for Fishing Year 2001)**

## **FEBRUARY 2002**

To the IFQ Fleet:

Greetings from the Alaska Region, National Marine Fisheries Service (NMFS), Restricted Access Management (RAM) Program.

This report contains information about the 2002 season, reviews the 2001 season, provides information on IFQ program performance, discusses some developments that may affect the program, and provides a directory of officials that you may find useful.

Additionally, we include information about the IFQ Cost Recovery (Fee) Program.

When it begins in mid-March, the 2002 IFQ season will last for eight full months. Our hope for you is that the season is safe and successful.

Sincerely,



Philip J. Smith  
Program Administrator  
Restricted Access Management

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## SECTION I

### THE 2002 HALIBUT AND SABLEFISH IFQ SEASON

**The 2002 Individual Fishing Quota (IFQ) season for halibut and sablefish opens in mid-March.** Fishing is allowed for a full 245 days, until noon A.L.T on November 18, 2002. This section of the report includes information on how your 2002 IFQ amounts were calculated, the 2002 Quota Share (QS) Use and Vessel IFQ Caps, any changes to the rules that are in effect for this fishing year (in particular, the new Cost Recovery Program), and other issues.

#### *HOW YOUR ANNUAL IFQ PERMIT AMOUNTS WERE CALCULATED*

Once the fisheries managers determined, for each halibut and sablefish regulatory area, what the 2002 Total Allowable Catch (TAC) limits were, Restricted Access Management (RAM) applied some simple math to calculate your IFQ.

For each area in which you hold QS, the amount of QS you hold was divided by the amount of all the QS that has been issued for that area (this is the Quota Share Pool, or QSP). The resulting fraction was then multiplied by the TAC for that area. The equation yielded the number of pounds of IFQ that you may harvest for the 2002 season derived from QS you held. Put simply, the above explanation can be expressed as follows:

$$QS \div QSP \times TAC = IFQ$$

In many cases, the resulting IFQ number was adjusted slightly (up or down) depending on fishing activities during 2001. If you (or whoever last year's IFQ holder may have been) recorded overages (caught more fish than the permit allowed), your 2002 permit account may reflect a debit for these pounds.

On the other hand, if you (or the IFQ holder) did not catch as many pounds as allowed by the IFQ permit, up to 10 percent of your final 2001 permit amount was added as an adjustment to your 2002

season's IFQ account.

The adjustment "follows" the QS. This means that if the QS transferred from one person to another, the remaining balances of QS holders were adjusted by adding or subtracting pro-rata shares of remaining balances of persons who fished the IFQ. Then all 2002 adjustments were calculated. In short, your 2002 IFQ amounts were adjusted by overages and underages due to last year's under- and over-fishing by persons who fished the IFQ, regardless of who that may have been.

The annual TACs for both halibut and sablefish were set by the International Pacific Halibut Commission (IPHC) and the North Pacific Fishery Management Council (Council) somewhat in advance of the 2002 season. The QSPs were calculated using January 31 figures. The following table shows those amounts. It also shows the "ratio" between the QSP and the TAC for each area; this ratio shows how many units of QS are needed to yield one pound of IFQ.

**TABLE I-A: 2002 QUOTA SHARE POOLS (QSPs) AND TOTAL  
ALLOWABLE CATCHES (TACs)**

| <b>Species<br/>and Area</b>    | <b>2002 Quota Share<br/>Pool (units)</b> | <b>2002 IFQ TAC<br/>(pounds)</b> | <b>Ratio<br/>(QS:IFQ)</b> |
|--------------------------------|--|----------------------------------|---------------------------|
| <b>Halibut</b> <sub>2C</sub>   | 59,633,843                               | 8,500,000                        | 7.0158                    |
| 3A                             | 184,873,475                              | 22,630,000                       | 8.1694                    |
| 3B                             | 53,907,509                               | 17,130,000                       | 3.1470                    |
| 4A                             | 14,503,996                               | 4,970,000                        | 2.9183                    |
| 4B                             | 9,284,774                                | 3,344,000                        | 2.7766                    |
| 4C                             | 3,969,186                                | 1,015,000                        | 3.9105                    |
| 4D                             | 4,869,276                                | 1,421,000                        | 3.4267                    |
| 4E                             | 139,999                                  | 0                                |                           |
| <b>All Areas</b>               | <b>331,182,058</b>                       | <b>59,010,000</b>                | <b>0</b>                  |
| <b>Sablefish</b> <sub>AI</sub> | 31,932,492                               | 3,373,920                        | 9.4645                    |
| * BS                           | 18,768,845                               | 1,701,951                        | 11.0278                   |
| CG                             | 111,619,720                              | 9,576,782                        | 11.6552                   |
| SE                             | 66,030,961                               | 7,076,766                        | 9.3307                    |
| WG                             | 36,029,105                               | 3,950,643                        | 9.1198                    |
| WY                             | 53,231,066                               | 3,708,137                        | 14.3552                   |
| <b>All Areas</b>               | <b>317,612,189</b>                       | <b>29,388,199</b>                |                           |

**Notes to Table:**

- The "ratio" displays the number of units of QS that yield one pound of 2002 IFQ.
- QS Pools include small amounts of QS in "Reserve" (QS that is not yet issued) and QS that is "Restricted" (QS that has been issued, but which does not yield IFQ to its holder).
- TACs do not include pounds that have been set aside for the CDQ program.
- Halibut weights are displayed in net pounds; sablefish weights in round pounds.

\* BS ratio revised to actual 4/10/02

## *2002 QS USE AND VESSEL IFQ CAPS*

The IFQ rules place definite limits on the amount of QS that yields IFQ that any one person may hold (QS Use Caps), and on the amount of total IFQ pounds that can be landed from one vessel during any season (Vessel IFQ Caps).

The following table displays the caps that are in effect during the 2002 season (note that the halibut QS Use Caps are constant, based on the 1996 QSPs):

ABLE I-B: **2002 QS USE CAPS**

|                  | Applicable %           | Size of Relevant QSPs | QS Use Cap         |
|------------------|------------------------|-----------------------|--------------------|
| <b>Halibut</b>   | 1% of 2C QSP           | 59,979,977 QS units   | 599,799 QS units   |
|                  | .5% of 2C, 3A, 3B QSPs | 300,564,647 QS units  | 1,502,823 QS units |
|                  | 1.5% of Area 4 QSPs    | 33,002,937 QS units   | 495,044 QS units   |
| <b>Sablefish</b> | 1% of SE QSPs          | 66,030,961 QS units   | 660,310 QS units   |
|                  | 1% of All QSPs         | 317,612,189 QS units  | 3,176,122 QS units |

**Note to Table:** The "Relevant" QSPs for calculating the Use Caps for halibut are the 1996 QSPs; for sablefish, the 2002 QSPs are used.

TABLE I-C: **2002 VESSEL IFQ CAPS**

|                  | Vessel Use Cap %   | 2001 IFQ TAC           | Vessel Use Cap      |
|------------------|--------------------|------------------------|---------------------|
| <b>Halibut</b>   | 1% of 2C IFQ TAC   | 8,500,000 net pounds   | 85,000 net pounds   |
|                  | .5% of All IFQ TAC | 59,010,000 net pounds  | 295,050 net pounds  |
| <b>Sablefish</b> | 1% of SE IFQ TAC   | round pounds           | round pounds        |
|                  | 1% of All IFQ TAC  | 7,076,766 round pounds | 70,768 round pounds |

**Note to Table:** Vessel IFQ Caps are calculated based on the IFQ TACs only; CDQ TACs are not included in the calculations.

## ***IFQ COST RECOVERY (FEE) PROGRAM***

On March 15, 2000, a major amendment to the IFQ regulation was approved and published in the Federal Register. The rule change was mandated by a 1996 amendment to the Magnuson-Stevens Fishery Management and Conservation Act (MSA), which that require the Secretary of Commerce adopt regulations to implement the cost recovery program for the Alaska halibut and sablefish IFQ program. Under the law, we must collect a fee to recover the actual costs of managing and enforcing the IFQ program. The fee is annually established as a percent of the ex-vessel value of IFQ halibut and sablefish. However, it may never exceed 3 percent of the value of the IFQ species landed.

RAM has published (February 2002) a comprehensive report on the first year of the IFQ Cost Recovery Program, and we urge that those with an interest in the particulars review the Report either by receiving a copy from RAM or by accessing it through our web site: **[www.fakr.noaa.gov/ram](http://www.fakr.noaa.gov/ram)**. Below, we present a summary of the mechanics of the program and the first year of implementation.

### **Cost Recovery -- How the System Works**

After the end of each IFQ season, RAM:

- (1) uses Registered Buyer data to calculate a set of “standard ex-vessel prices” for IFQ fish landed by species, month, and port;
- (2) compiles a list of all your IFQ permit landings by species, month, and port;
- (3) applies the appropriate “standard ex-vessel price” to each of your landings (which results in a “standard ex-vessel value” for each landing);
- (4) applies the annual fee percentage (3 percent or lower) to each landing’s “standard ex-vessel value;” and,
- (5) sums the “standard ex-vessel values” for all your landings and permits. This final result is your total fee owed, as based on the standard prices and values.

***IFQ Permit Holder Obligations.*** RAM then mails a summary that itemizes your landings and shows your total fee liability. When you receive the summary, you must pay the amount owed by no later than January 31 of the year following the calendar year in which landings were made. You have two payment options:

1. You may pay the amount owed shown on the summary (i.e., the amount based on RAM’s calculation of the total “standard ex-vessel value” of all your permit landings); or,
2. You may pay an amount based in whole or in part on “actual” ex-vessel receipts from the sale of your halibut or sablefish. However, if you choose to pay any portion of your fee on the basis of actual receipts, you must be prepared to demonstrate (with those receipts) how much you were paid for those IFQ landings.

***Obligations of Registered Buyers acting as shoreside processors:*** You must report to RAM how many pounds, by species, month, and port, of IFQ halibut and/or sablefish you purchased and how much you paid for the product. Reports are due at NMFS by

October 15<sup>th</sup> of each year. Forms and instructions are available well in advance of that date. ***Calculating “standard ex-vessel price” and “standard ex-vessel value”:*** The Registered Buyer reports are essential for calculating the “standard ex-vessel prices” of IFQ fish for any given year.

Upon receipt of the information, RAM will compute the average price paid by species, month, and port (or group of ports). The resulting numbers are the suite of “standard ex-vessel prices” for that year, and will be the basis for calculating the “standard ex-vessel value” of each landing.

***Calculating the annual fee percentage:*** The regulations assume that the fee will be 3 percent (but not more) of the ex-vessel value of the IFQ fish landed. Late in each fishing year, NMFS computes the costs of managing and enforcing the program. If costs are less than expected, and/or if prices paid for IFQ fish are higher than expected, the annual fee percentage could be adjusted downward for that year. To determine the annual fee percentage, RAM will consider the costs of management and enforcement, and the total “standard ex-vessel value” of all IFQ fish landed on all permits. If applying a 3 percent fee would recover revenues in excess of those needed, the percentage will be set at less than 3 percent. Notice of the new percentage will be published in the Federal Register and reflected in bills sent to permit holders.

***Payment of the fee:*** IFQ permit holders must pay their fees by January 31 of the year following the calendar year in which landings were made.

Failure to pay on time will result in the permit holder’s Quota Share (QS)/IFQ becoming non-transferable and the person being ineligible to receive any additional QS/IFQ by transfer. Additionally, the account will be subject to penalties, fees and interest.

Communication with RAM will provide ample opportunity for each IFQ permit holder to reconcile their account. However, if the

permit holder continues not to pay, RAM will produce a formal determination and state the amount due. Any such formal determination may be appealed. **If the formal determination is not appealed and the account remains unpaid or under-paid, the matter will be referred for collection.**

### **Cost Recovery - First Year Performance**

In December 2000, RAM established the fee percentage at 1.8% of the ex-vessel value of IFQ harvests (based on actual program management and enforcement costs of \$3,474,111.00 and total value of halibut and sablefish of \$195,882,331). Billings were then sent to 2,532 permit holders. By the end of the Fiscal Year (September 30, 2001), all but 9 permit holders had paid. IFQ permits held by the 9 persons who did not pay have their permits sanctioned and may not fish. In addition, they may not make QS/IFQ transfers nor they may receive QS/IFQ by transfer. These permit holders may not regain the privileges until their total fee liability is satisfied.

### **Cost Recovery – 2002 Collection**

At the end of the 2001 season, RAM calculated the fee at 2.0% of the ex-vessel value of IFQ harvests. The percent resulted from actual program management and enforcement costs of \$3,430,357, and total ex-vessel value of halibut and sablefish of \$167,328,175. The increase over the 2001 fee percent resulted from lower ex-vessel values. Those fees should have been paid by January 31, 2002; collection procedures have commenced against those who failed to pay.



## ***IFQ RULE CHANGES***

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***Note that the following discussion of IFQ regulations is for informational purposes only. It should not be relied on as a statement of the legal requirements of the regulations. Current regulations that govern the IFQ program can be found at 50 CFR Part 679.***

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Since the beginning of the IFQ program, there have been numerous adjustments to the regulations. Some of these have been major (such as the “Fish-Down” provisions that came into effect in late 1996), while many have been “technical” in nature. A number of changes, none particularly significant, are pending consideration and approval by the Secretary.

The most recent regulatory changes accomplished the following:

- clarified the requirements of IFQ fisherman fishing in open access sablefish fisheries in Alaska State waters;
- revised the definition of an “IFQ landing” to include “trailer” – the removal from the water of a vessel that contains IFQ harvests;
- exempted from the IFQ six-hour prior notice of landing and 12-hour landing window requirements those lingcod fishermen who use dinglebar gear, who hold halibut IFQ, and who wish to land up to 500 pounds of incidental halibut bycatch along with legal landings of lingcod;
- specified, for IFQ landings that involve more than one Registered Buyer, which Registered Buyer is responsible for ensuring compliance with shipment report requirements;
- extended the existing surviving spouse transfer provisions to include a family member designated as a beneficiary to whom the survivorship transfer privileges would extend in the absence of a surviving spouse;
- required corporations or partnerships holding QS to provide annual

updates to RAM on the status of the corporation or partnership, including the number of shareholders or partners, and compliance with applicable laws of incorporation;

- allows appeals of Initial Administrative Determinations (IADs) made under the IFQ program regulations to be submitted by facsimile; and,
- changes the manner in which slime and ice allowances are reported in IFQ landing reports and calculated for account debit in the NMFS database.

Additionally, three amendments to the Fishery Management Plan (FMP) were approved, and final regulations are in development. These amendments:

- change the sablefish use limits to be calculated in the same way that halibut use limits are calculated as fixed number of (i.e. in units based on the 1996 QS pools rather than as variable numbers of units based on percentage of the annual QS pools);
- add language specific to estates to the FMP’s definition of a “change” in a corporation, partnership, or other entity; and,
- allow “indirect ownership” of vessels for purposes of determining minimum vessel ownership percentages under the IFQ hired skipper provisions.

## Changes Under Consideration

**Halibut Sport Charters:** At its February 2000 meeting, the Council took final action to establish a halibut sport charter vessel guideline harvest level (GHL). At that time, the Council also initiated “fast-track” development of an amendment that would integrate the halibut sport charter fishery into the existing IFQ program. A Council committee developed elements and options for this IFQ proposal and reported back to the Council. At its April 2001 meeting in Anchorage, the Council took final action on the amendment and, in October 2001, affirmed that decision. Regulations to implement the GHL have been proposed; regulations to implement the recommended IFQ program are being prepared.

**Coastal Communities:** The Council has been petitioned by the Gulf of Alaska Coastal Community Coalition (GOACCC) to consider a program amendment that would allow small coastal communities located on the Gulf of Alaska to form not-for-profit corporations that could enter the QS market and obtain quota for use by community residents. The Council has developed an Analysis of the amendments and is scheduled to take final action at its April 2002 meeting.

**Reporting Changes:** NMFS is developing an internet alternative to the transaction terminals for reporting IFQ landing. Requested buyers will be notified when this option is available, sometime during the 2002 season.

**Landings Changes:** In response to concerns expressed by Registered Buyers and IFQ fishermen, the NMFS Alaska Enforcement Division (AED) is recommending changes to some of the requirements that currently pertain to landing IFQ halibut and sablefish, in order to reduce the reporting burden on the public. If approved, these changes could:

- amend the Prior Notice of Landing report requirement, by reducing the minimum advance notification time to less than six hours;
- amend the Prior Notice of Landing Report by replacing the requirement to designate a specific Registered Buyer with a requirement to provide more detailed landing location information;
- eliminate the dockside vessel clearance requirement and replace it with the verbal “Departure Report;” and,
- eliminate the Shipment Report and require an enhanced Product Transfer Report.

*At this time, these are under consideration only, and no changes will occur unless and until the regulations are changed.*

**For up-to-date information on these topics, please visit NMFS’ and the Council’s web sites, accessible at:  
[www.fakr.noaa.gov](http://www.fakr.noaa.gov) and [www.fakr.noaa.gov/npfmc](http://www.fakr.noaa.gov/npfmc), respectively.**

## SECTION II

### THE 2001 IFQ SEASON IN REVIEW

The 2001 IFQ season opened on March 15. A total of 6,684 IFQ permits (as defined by unique combinations of species, areas, and vessel categories), including 4,951 halibut permits and 1,733 sablefish permits, were active as of year-end 2001.

When the season ended on November 15, those permits had been used by IFQ holders to report 6,997 vessel landings of IFQ halibut and 2,055 of sablefish, for a total harvest of 95 percent of the IFQ halibut TAC and 90 percent of the IFQ sablefish TAC. The table below displays those landings by species, regulatory area, and IFQ pounds.

TABLE II-A: 2001 IFQ HALIBUT AND SABLEFISH ALLOCATIONS AND LANDINGS

| Species/Area     | Vessel Landings | Area IFQ TAC      | Total Harvest     | Percent Harvested |
|------------------|-----------------|-------------------|-------------------|-------------------|
| <b>Halibut</b>   |                 |                   |                   |                   |
| 2C               | 2,738           | 8,780,000         | 8,170,172         | 93%               |
| 3A               | 2,582           | 21,890,000        | 21,071,467        | 96%               |
| 3B               | 915             | 16,530,000        | 16,082,144        | 97%               |
| 4A               | 375             | 4,970,000         | 4,823,638         | 97%               |
| 4B               | 193             | 3,928,000         | 3,517,658         | 90%               |
| 4C               | 156             | 1,015,000         | 724,815           | 71%               |
| 4D               | 38              | 1,421,000         | 1,368,875         | 96%               |
| <b>Total</b>     | <b>6,997</b>    | <b>58,534,000</b> | <b>55,758,769</b> | <b>95%</b>        |
| <b>Sablefish</b> |                 |                   |                   |                   |
| AI               | 129             | 3,306,900         | 1,749,556         | 53%               |
| BS               | 113             | 1,375,670         | 789,872           | 57%               |
| CG               | 664             | 9,541,509         | 9,295,504         | 97%               |
| SE               | 752             | 7,407,456         | 7,249,338         | 98%               |
| WG               | 149             | 3,544,997         | 3,388,374         | 96%               |
| WY               | 248             | 3,944,029         | 3,875,658         | 98%               |
| <b>Total</b>     | <b>2,055</b>    | <b>29,120,561</b> | <b>26,348,302</b> | <b>90%</b>        |

**Notes to Table:**

- Vessel landings include the number of reported landings by participating vessels reported by IFQ regulatory area; each such landing may include harvests from multiple IFQ permit holders;
- Halibut weights are reported in net (headed and gutted) pounds; sablefish weights are reported in round pounds.

## ***RATE OF IFQ HARVEST***

The following tables display the rate of IFQ harvest by month for each of the past seven seasons:

**TABLE II-B: RELATIVE RATE OF HALIBUT IFQ HARVEST**

| <b>Month<br/>Ending</b> | <b>1995</b><br>(TAC = 37,422,000) | <b>1996</b><br>(TAC = 37,422,000) | <b>1997</b><br>(TAC = 51,116,000) | <b>1998</b><br>(TAC = 55,708,000) | <b>1999</b><br>(TAC = 58,390,000) | <b>2000</b><br>(TAC = 53,074,000) | <b>2001</b><br>(TAC = 58,534,000) |
|-------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|
| April 14                | 3%                                | 11%                               | 9%                                | 8%                                | 12%                               | 10%                               | 10%                               |
| May 14                  | 7%                                | 14%                               | 13%                               | 11%                               | 14%                               | 14%                               | 14%                               |
| June 14                 | 15%                               | 15%                               | 19%                               | 13%                               | 18%                               | 19%                               | 18%                               |
| July 14                 | 9%                                | 10%                               | 11%                               | 12%                               | 11%                               | 10%                               | 10%                               |
| August 14               | 10%                               | 12%                               | 12%                               | 14%                               | 12%                               | 14%                               | 14%                               |
| September 14            | 16%                               | 15%                               | 14%                               | 13%                               | 13%                               | 12%                               | 12%                               |
| October 14              | 14%                               | 11%                               | 10%                               | 11%                               | 10%                               | 10%                               | 10%                               |
| End of year             | 11%                               | 6%                                | 8%                                | 9%                                | 7%                                | 8%                                | 8%                                |
| <b>Total %</b>          | <b>85%</b>                        | <b>94%</b>                        | <b>96%</b>                        | <b>91%</b>                        | <b>97%</b>                        | <b>97%</b>                        | <b>96%</b>                        |

**TABLE II-C: RELATIVE RATE OF SABLEFISH IFQ HARVEST**

| <b>Month<br/>Ending</b> | <b>1995</b><br>(TAC = 45,658,049) | <b>1996</b><br>(TAC = 35,319,897) | <b>1997</b><br>(TAC = 30,233,885) | <b>1998</b><br>(TAC = 29,845,875) | <b>1999</b><br>(TAC = 27,154,059) | <b>2000</b><br>(TAC = 29,926,122) | <b>2001</b><br>(TAC = 29,120,561) |
|-------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|
| April 14                | 9%                                | 15%                               | 11%                               | 8%                                | 8%                                | 11%                               | 10%                               |
| May 14                  | 21%                               | 24%                               | 24%                               | 17%                               | 20%                               | 23%                               | 23%                               |
| June 14                 | 22%                               | 20%                               | 20%                               | 19%                               | 20%                               | 20%                               | 20%                               |
| July 14                 | 11%                               | 10%                               | 10%                               | 12%                               | 17%                               | 13%                               | 10%                               |
| August 14               | 4%                                |                                   | 11%                               | 11%                               | 7%                                | 7%                                | 7%                                |
| September 14            | 8%                                | 8%                                | 7%                                | 10%                               | 8%                                | 8%                                | 7%                                |
| October 14              | 7%                                | 5%                                | 8%                                | 11%                               | 9%                                | 7%                                | 9%                                |
| End of year             | 7%                                | 3%                                | 4%                                | 5%                                | 5%                                | 3%                                | 4%                                |
| <b>Total %</b>          | <b>89%</b>                        | <b>92%</b>                        | <b>95%</b>                        | <b>93%</b>                        | <b>94%</b>                        | <b>92%</b>                        | <b>90%</b>                        |

**Notes to Tables:**

- Data include IFQ TACs only; CDQ allocations are not included.
- Retention of halibut after November 15 is prohibited
- Retention and reporting of sablefish after November 15 is required if IFQ permit includes sablefish balance.
- Because of rounding, sums of monthly totals in this table may differ slightly from published annual total per cents of TACs landed.

## ***TOP IFQ ALASKAN PORTS***

### **Halibut**

As the following table displays, the “Top Ten” Alaska ports in which the IFQ halibut were landed has remained relatively constant over the past seven seasons, as has the percentage of IFQ halibut landed outside of Alaska.

**TABLE II-D: TOP TEN ALASKA HALIBUT PORTS 2001**

| <b>Port</b>           | <b>2001 Rank</b> | <b>2001 Pounds (net wt.)</b> | <b>Percent of 2001 Landings</b> | <b>1995 Rank</b> | <b>1996 Rank</b> | <b>1997 Rank</b> | <b>1998 Rank</b> | <b>1999 Rank</b> | <b>2000 Rank</b> |
|-----------------------|------------------|------------------------------|---------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>Homer</b>          | 1                | 13,361,782                   | 24.0%                           | 2                | 2                | 3                | 1                | 1                | 1                |
| <b>Kodiak</b>         | 2                | 8,515,583                    | 15.3%                           | 1                | 1                | 1                | 2                | 2                | 2                |
| <b>Dutch/Unalaska</b> | 3                | 6,190,526                    | 11.1%                           | 4                | 4                | 2                | 4                | 4                | 3                |
| <b>Seward</b>         | 4                | 6,121,758                    | 11.0%                           | 5                | 3                | 4                | 3                | 3                | 4                |
| <b>Sitka</b>          | 5                | 2,547,093                    | 4.6%                            | 3                | 5                | 5                | 5                | 6                | 6                |
| <b>Juneau</b>         | 6                | 2,345,232                    | 4.2%                            | 13               | 8                | 8                | 7                | 5                | 5                |
| <b>Petersburg</b>     | 7                | 2,213,709                    | 4.0%                            | 6                | 6                | 6                | 6                | 7                | 7                |
| <b>Adak</b>           | 8                | 2,100,258                    | 3.8%                            | N/A              | N/A              | N/A              | N/A              | 12               | 8                |
| <b>Hoonah</b>         | 9                | 1,403,894                    | 2.5%                            | 7                | 7                | 7                | 8                | 9                | 12               |
| <b>Cordova</b>        | 10               | 1,392,609                    | 2.5%                            | 8                | 9                | 9                | 9                | 8                | 11               |
| <b>All “Outside”</b>  | N/A              | 2,073,682                    | 3.7%                            | N/A              | N/A              | N/A              | N/A              | N/A              | N/A              |
| <b>All Ports</b>      | N/A              | <b>55,758,769</b>            | <b>100.0%</b>                   | <b>N/A</b>       | <b>N/A</b>       | <b>N/A</b>       | <b>N/A</b>       | <b>N/A</b>       | <b>N/A</b>       |

**Note to Table:** “All Ports” includes some additional Alaskan ports.

## Sablefish

As the following table displays, the “Top Ten” Alaska ports in which the IFQ sablefish were landed has remained relatively constant over the past seven seasons, as has the percentage of IFQ sablefish landed outside of Alaska.

**TABLE II-E: TOP TEN ALASKA SABLEFISH PORTS 2001**

| <b>Port</b>           | <b>2001 Rank</b> | <b>2001 Pounds (round wt.)</b> | <b>Percent of 2001 Landings</b> | <b>1995 Rank</b> | <b>1996 Rank</b> | <b>1997 Rank</b> | <b>1998 Rank</b> | <b>1999 Rank</b> | <b>2000 Rank</b> |
|-----------------------|------------------|--------------------------------|---------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>Seward</b>         | 1                | 5,201,716                      | 19.7%                           | 1                | 1                | 1                | 1                | 1                | 1                |
| <b>Dutch/Unalaska</b> | 2                | 3,943,412                      | 15.0%                           | 3                | 4                | 4                | 4                | 4                | 2                |
| <b>Sitka</b>          | 3                | 3,323,245                      | 12.6%                           | 2                | 2                | 2                | 2                | 2                | 3                |
| <b>Kodiak</b>         | 4                | 2,619,512                      | 9.9%                            | 4                | 3                | 3                | 3                | 3                | 4                |
| <b>Homer</b>          | 5                | 1,842,522                      | 7.0%                            | 9                | 8                | 9                | 6                | 5                | 6                |
| <b>Cordova</b>        | 6                | 1,345,448                      | 5.1%                            | 8                | 7                | 7                | 10               | 9                | 9                |
| <b>Juneau</b>         | 7                | 1,305,179                      | 5.0%                            | 9                | 13               | 8                | 7                | 7                | 5                |
| <b>Hoonah</b>         | 8                | 1,133,641                      | 4.3%                            | 10               | 9                | 6                | 8                | 10               | 8                |
| <b>Petersburg</b>     | 9                | 1,047,915                      | 4.0%                            | 7                | 5                | 10               | 9                | 8                | 10               |
| <b>Yakutat</b>        | 10               | 956,285                        | 3.6%                            | 5                | 6                | 5                | 5                | 6                | 7                |
| <b>All “Outside”</b>  | N/A              | 1,245,115                      | 4.7%                            | N/A              | N/A              | N/A              | N/A              | N/A              | N/A              |
| <b>All Ports</b>      | <b>N/A</b>       | <b>26,348,302</b>              | <b>100.0%</b>                   | <b>N/A</b>       | <b>N/A</b>       | <b>N/A</b>       | <b>N/A</b>       | <b>N/A</b>       | <b>N/A</b>       |

**Note to Table:** “All Ports” includes some additional Alaskan ports.

### ***2001 HIRED SKIPPER ACTIVITY***

During the 2001 IFQ season, a total of 293 Hired Skippers participated in the fishery. Hired Skippers harvested 22,926,044 pounds of IFQ halibut (head off, gutted), which was 39 percent of the halibut IFQ TAC and 41% of all IFQ halibut weight landed. Hired Skippers harvested 14,418,520 pounds of IFQ sablefish (round weight), which was 50 percent of the sablefish IFQ TAC and 55 percent of all IFQ sablefish weight landed.

### ***2002 OVERAGE AND UNDERAGE ADJUSTMENTS***

Under the IFQ regulations, non-confiscated amounts of IFQ permit “overages” are used to determine adjustment to the following year’s IFQ permit amounts. “Underages” may result in additional pounds, although the actual carry-over may be limited under regulations. The table below summarizes the effects of the adjustments from 2001 overages and underages on the 2002 IFQ permit amounts.

**TABLE II-F: EFFECT OF OVERAGE/UNDERAGE ADJUSTMENTS ON 2002 IFQ ALLOCATIONS**

| <b>Species</b>   | <b>'02 Permits with Underage Adjustments</b> | <b>Total Underage</b> | <b>'02 Permits with Overage Adjustments</b> | <b>Total Overage Adjustment</b> | <b>Net '02 IFQ Pounds</b> |
|------------------|--|-----------------------|---|---------------------------------|---------------------------|
| <b>Halibut</b>   | 3,409  | 1,706,270             | 703   | -369,377                        | 1,336,893                 |
| <b>Sablefish</b> | 1,100  | 948,532               | 329   | -139,941                        | 808,591                   |

**Notes to Table:**

- A total of 4,947 halibut permits and 1,725 sablefish permits (by area and category) were issued at the start of the 2002 fishing year.
- The “Net '02 IFQ Pounds” column displays the total number of IFQ pounds that are available above the TAC for the 2002 sablefish and halibut IFQ season.

### *USE OF TRANSACTION TERMINALS*

Registered Buyers must report IFQ landings by using electronic Transaction Terminals. This allows for “real-time” accounting of individual harvests and contributes significantly to management of each individual IFQ holder’s IFQ account.

During the first two IFQ seasons, technical problems were experienced with the remote Transaction Terminals; however, by the end of 1996, most

of the problems had been resolved. Since that time, use of the Transaction Terminals has been the norm, rather than the exception.

The following table shows the increase in electronic reporting of IFQ landings over time. A “transaction” is a report by vessel, person, harvest area, and species.

TABLE II-G: USE OF TRANSACTION TERMINALS

| Reporting Year | Number of “Transactions” | Number of “Transactions” Using Transaction Terminals | Percent Reported by Transaction Terminal |
|----------------|--------------------------|--|--|
| 1996           | 11,196                   | 5,908  | 53%                                      |
| 1997           | 12,753                   | 11,294   | 89%                                      |
| 1998           | 11,801                   | 11,062   | 94%                                      |
| 1999           | 12,852                   | 12,451   | 97%                                      |
| 2000           | 11,438                   | 10,985   | 96%                                      |
| 2001           | 11,354                   | 11,142   | 98%                                      |



## **REGISTERED BUYER INFORMATION**

Landings of IFQ halibut and sablefish must be reported by an IFQ Registered Buyer (RB) (which may be, and in many instances is, the QS holder). The following table displays the number of RB permits issued by RAM for the 2001 IFQ season, as well as the number of RBs who reported landings.

**TABLE II-H: NUMBER AND TYPE OF RB PERMITS ISSUED FOR 2001**

| Type of RB          | Number of Permits Issued | Number Reporting Landings | Percent Reporting Landings |
|---------------------|--------------------------|---------------------------|----------------------------|
| Buyer-Broker        | 131                      |                           | 34%                        |
| Catcher/Seller      | 480                      | 110                       | 23%                        |
| Retail              | 50                       | 19                        | 38%                        |
| Mothership          | 15                       | 0                         | 0%                         |
| Tender              | 28                       | 6                         | 21%                        |
| Catcher/Processor   | 90                       | 27                        | 30%                        |
| Restaurant          | 26                       | 8                         | 31%                        |
| Shore plant         | 124                      | 81                        | 65%                        |
| Other               | 11                       | 4                         | 36%                        |
| <b>Unique Total</b> | <b>694</b>               | <b>215</b>                | <b>31%</b>                 |

**Note to Table:** Permit applicants select all relevant "Types of Buyer"; as a result, numbers are not additive by type.

The following table displays the varying amounts of IFQ landings reported by RBs during the 2001 IFQ season. The numbers show that there are significant differences in the amounts of IFQ harvests that were reported by those buyers. As the above table shows, fewer than 31 percent of those who held 2001 RB permits actually reported landings; data reported on the following table suggest that a large number of those RBs who did report landings, reported relatively small amounts. This information is consistent with earlier years.

### **Mean (Average), Median, Largest, and Smallest Reported IFQ Halibut and**

**Table II-I: Sablefish Pound Totals for RBs for 2001**

| Species   | RBs Reporting Landings | Mean Pounds | Median Pounds | Largest PoundTotal | Smallest PoundTotal |
|-----------|------------------------|-------------|---------------|--------------------|---------------------|
| Halibut   | 174                    | 320,453     | 27,876        | 5,841,753          | 104                 |
| Sablefish | 94                     | 280,301     | 41,724        | 2,263,663          | 106                 |

### ***2001 IFQ ENFORCEMENT ACTIVITIES***

The U.S. Coast Guard (Coast Guard) and the NMFS Alaska Enforcement Division (AED) enforce the regulations that govern fishing under the IFQ program. As a general rule, AED focuses its enforcement effort shoreside while the Coast Guard focuses its effort at-sea. The Coast Guard also conducts shoreside enforcement consisting of monitoring offloads and after-hours surveillance of high threat areas. The AED is primarily responsible for offload monitoring, accounting for IFQ shipments, and investigating fraud and other illegal activities.

During 2001, AED conducted 533 dockside boardings (accounting for 31% of the vessels delivering IFQ halibut or sablefish), while Coast Guard personnel conducted 210 at-sea boardings, monitored 106 IFQ offloads, and spent over 2,400 person-hours on focused after-hours surveillance. These activities resulted in the detection of 29 fisheries violations, with most violations involving log books, permits not on board, and exceeding bycatch limits.

The AED reports: "Overall, compliance was good."

### ***2001 VESSEL SAFETY STATISTICS***

In addition to its enforcement responsibilities, the Coast Guard also monitors safety-at-sea. During the 2001 IFQ season, the Coast Guard conducted seven Search and Rescue (SAR) missions on IFQ vessels in distress in Alaska (compared with three in 2000),

one of which resulted in the loss of the vessel (compared to one in 2000). The Coast Guard responded to an average of 28 SAR missions, two vessel sinkings and two lives lost each year during the short "derby" openings prior to 1995.

## **SECTION III**

### **THE IFQ PROGRAM - BY THE NUMBERS**

One way of assessing the performance of a program that restricts access to fisheries is to quantify as many elements as possible and report on those data to the fleet, fisheries managers, the general public, and policy-makers. That is the purpose of this section of the 2002 Report to the Fleet.

In many ways, these data simply display the results of decisions made by the thousands of QS holders – decisions to appeal determinations, to buy or sell QS, to fish, to join with other QS holders in a vessel, etc.

On the following pages, we discuss implementation issues (initial issuance and appeals), consolidation of QS holders, consolidation of vessels, “IFQ Crewmembers” who have entered the fishery since the IFQ program began, etc. They are reported generally without comment; the numbers speak for themselves.

### ***INITIAL ISSUANCE OF QS, DETERMINATIONS, AND APPEALS***

During the initial application period, more than 6,000 persons applied for more than 9,000 QS certificates (by area, species, and vessel category).

From that pool of applications, approximately 1,100 were determined not to be eligible for QS, while some 750 others challenged part or all of the official records that were used to determine who received QS, how much, and what type. All applicants whose claims, in whole or in part, were denied, received an Initial Administrative Determination (IAD) from RAM.

Although the application period formally ended in July of 1994, several applications were received after that date and were denied with IAD's. No new applications were received during 2001.

Of the approximately 1,800 IADs issued by RAM, only 10 percent (182) were appealed to the Office of Administrative Appeals. The following table shows the issues which gave rise to the appeals:

TABLE III-A: **APPEALS FROM RAM IADs ON IFQ PROGRAM APPLICATIONS  
AS OF YEAR-END 2001**

| <b>Reasons for IFQ Appeals</b>                        | <b>Number</b> |
|---|---------------|
| <del>Basic Eligibility for Quota Share Issuance</del> | 49            |
| <del>Ownership/Lease Conflicts</del>                  | 42            |
| Untimely Applications                                 | 36            |
| <del>Additional Qualifying Pounds</del>               | 21            |
| Successor-in-Interest Determinations                  | 13            |
| Vessel Category Determinations                        | 8             |
| <del>Challenge to IFQ Regulations</del>               | 7             |
| <del>Miscellaneous/Other Reasons</del>                | 6             |

### **Disposition of Administrative Appeals**

TABLE III-B: **STATUS OF IFQ APPEALS**

| <b>Status of IFQ Appeals as of Year-End 2001</b>        | <b>Number</b> |
|---|---------------|
| Decisions Issued (Final Determinations Made)            | 148           |
| Appeal Settled or Dismissed (Final Determinations Made) | 31            |
| Decisions Pending                                       | 3             |

### Appeals of Final Agency Actions

A Decision of the Office of Administrative Appeals becomes a Final Agency Action 30 days after it is published, unless the Regional Administrator decides otherwise. An appellant may appeal a Final Agency Action to the federal courts. As of year-end 2001, 11 of the 148 Final

Agency Actions on IFQ appeals had been appealed to the U.S. District Court as 10 separate cases. (Some were further appealed to the 9<sup>th</sup> Circuit Court of Appeals).

The following table identifies and shows the status of those appeals:

TABLE III-C: STATUS OF APPEALS TO FEDERAL COURTS

| Case Title (Nature of Dispute)  | Status of Appeal  |
|---|---|
| <b>Dell v. NMFS</b> (Lease/Ownership)                                       | 9 <sup>th</sup> Circuit Court Judgment for Defendant (NMFS)   |
| <b>Smee v. NMFS</b> (Lease/Ownership)                                       | 9 <sup>th</sup> Circuit Court Judgment for Defendant (NMFS)   |
| <b>Cole v. NMFS</b> (Lease/Ownership)                                       | 9 <sup>th</sup> Circuit Court Judgment for Defendant (NMFS)   |
| <b>Gates v. NMFS</b> (Lease/Ownership)                                      | 9 <sup>th</sup> Circuit Court Judgment for Defendant (NMFS)   |
| <b>West v. NMFS</b> (Ownership Conflict)                                    | District Court Judgment for West (Appellant)  |
| <b>Foss v. (NMFS)</b> (Untimely Application)                                | 9 <sup>th</sup> Circuit Court Judgment for Defendant (NMFS)   |
| <b>Prowler/Ocean Prowler Partnerships v. (NMFS)</b><br>(Ownership Conflict) | District Court Partial Summary Judgment for Defendant (NMFS); Partial Remand. On remand, agency denial was affirmed; to date the decision has not been (re)appealed to the Federal Courts |
| <b>Prowler /Ocean Prowler Partnerships v. (NMFS)</b><br>(Landings)          | 9 <sup>th</sup> Circuit Court Judgment for Defendant (NMFS)   |
| <b>Petticrew v. (NMFS)</b> (Regulation Challenge)                           | Settled prior to Judgment   |
| <b>Ward's Cove v. (NMFS)</b> (Regulation Challenge)                         | 9 <sup>th</sup> Circuit Court Judgment for Defendant (NMFS)   |

### ***QUOTA SHARE TRANSFER ACTIVITY***

Compared with the first three years of the program, QS and IFQ transfer activity declined significantly after 1997.

The following table (for halibut, sablefish, and both species combined) displays a summary of QS/IFQ transfer activities (numbers of approved transfer applications) from the beginning of the program in late 1994 through year-end 2001.

**TABLE III-D: NUMBERS OF APPROVED QS/IFQ TRANSFERS 1995 - 2001**

| <b>Species</b>      | <b>Transfer Type</b>               | <b>1995</b>  | <b>1996</b>  | <b>1997</b>  | <b>1998</b>  | <b>1999</b>  | <b>2000</b>  | <b>2001</b> |
|---------------------|------------------------------------|--------------|--------------|--------------|--------------|--------------|--------------|-------------|
| <b>Halibut</b>      | Regular QS/IFQ                     | 1,217        | 1,397        | 1,004        | 539          | 611          | 605          | 553         |
|                     | IFQ Only ("lease")                 | 31           | 61           | 53           | 43           | 39           | 49           | 48          |
|                     | Sweep-up of Small Blocks           | 31           | 63           | 441          | 148          | 150          | 75           | 89          |
|                     | <b>Total - Halibut Transfers</b>   | <b>1,279</b> | <b>1,521</b> | <b>1,498</b> | <b>730</b>   | <b>800</b>   | <b>729</b>   | <b>690</b>  |
| <b>Sablefish</b>    | Regular QS/IFQ                     | 352          | 351          | 388          | 185          | 237          | 238          | 185         |
|                     | IFQ Only ("lease")                 | 76           | 51           | 51           | 57           | 53           | 79           | 67          |
|                     | Sweep-up of Small Blocks           | 15           | 20           | 82           | 33           | 22           | 29           | 20          |
|                     | <b>Total - Sablefish Transfers</b> | <b>443</b>   | <b>422</b>   | <b>521</b>   | <b>275</b>   | <b>312</b>   | <b>346</b>   | <b>272</b>  |
| <b>Both Species</b> | Regular QS/IFQ                     | 1,569        | 1,748        | 1,392        | 724          | 848          | 843          | 738         |
|                     | IFQ Only ("lease")                 | 107          | 112          | 104          | 100          | 92           | 128          | 115         |
|                     | Sweep-up                           | 46           | 83           | 523          | 181          | 172          | 104          | 109         |
|                     | <b>Total - All Transfers</b>       | <b>1,722</b> | <b>1,943</b> | <b>2,019</b> | <b>1,005</b> | <b>1,112</b> | <b>1,075</b> | <b>962</b>  |

2,019

The overall distributive effects of the transfers summarized above have not been dramatic (at least with respect to net “gains” and “losses” of QS/IFQ by Alaskans v. Non-Alaskans).

The following table summarizes the transfer of QS/IFQ between Alaskans and Non-Alaskans. As in the past, the total amount of QS held by Alaskans continues to increase as a result of transfer activity (with the exception of sablefish sweep-ups)

**TABLE III-E: CHANGES IN HALIBUT QS HOLDINGS BETWEEN INITIAL ISSUANCE AND CURRENTLY ISSUED (AS OF DECEMBER 31, 2001)**

| Area         | Initially Issued |             |              |            | Currently Issued (as of December 31, 2001) |             |              |            |
|--------------|------------------|-------------|--------------|------------|--|-------------|--------------|------------|
|              | Alaskan          |             | Non-Alaskan  |            | Alaskan                                    |             | Non-Alaskan  |            |
|              | # of Persons     | QS Units    | # of Persons | QS Units   | # of Persons                               | QS Units    | # of Persons | QS Units   |
| 2C           | 1,971            | 49,265,458  | 417          | 10,293,932 | 1,260                                      | 50,232,606  | 243          | 9,347,197  |
| 3A           | 2,436            | 118,591,502 | 636          | 66,843,449 | 1,577                                      | 113,771,024 | 418          | 70,914,849 |
| 3B           | 780              | 28,061,266  | 277          | 26,159,470 | 401  | 26,459,075  | 175          | 27,441,972 |
| 4A           | 376              | 7,065,931   | 155          | 7,485,405  | 188  | 6,645,709   | 99           | 7,855,918  |
| 4B           | 80               | 3,242,733   | 73           | 6,050,658  | 55   | 3,205,449   | 57           | 6,079,325  |
| 4C           | 48               | 2,199,603   | 32           | 1,769,583  | 40   | 2,178,131   | 21           | 1,783,289  |
| 4D           | 22               | 665,856     | 46           | 4,168,808  | 14   | 1,070,628   | 36           | 3,798,648  |
| 4E           | 98               | 127,392     | 6            | 12,607     | 94   | 122,375     | 8            | 17,313     |
| <b>Total</b> | <b>3,976</b>     |             | <b>854</b>   |            | <b>2,851</b>                               |             | <b>634</b>   |            |

**Notes to Table:**

- “Initially Issued” means QS that is initially issued to its first holder. Initial issuance was accomplished primarily at the beginning of the IFQ program but continued to occur as a result of adjudicated appeals.
- Designation of “Alaskan” or “Non-Alaskan” is premised on holder’s self-reported business mailing address; RAM makes no effort to verify residency.
- Changes over time between “Alaskan” and “Non-Alaskan” QS holdings are the result both of QS transfers and of QS holder’s address changes.
- Total QS units for a species/area may differ from published QS pool sizes as a result of QS units not assigned to any person (for example, units in reserve or revoked mid-year)
- The number of QS holders is not additive across areas or species. “Unique Total” represents the unique number of QS holders for each species.
- Additional information on changes in QS holdings and consolidation in the halibut and sablefish fisheries can be found on our web site at: <[www.fakr.noaa.gov](http://www.fakr.noaa.gov)>
- Persons without addresses are excluded.

TABLE III-F: CHANGES IN SABLEFISH QS HOLDINGS BETWEEN INITIAL ISSUANCE AND CURRENTLY ISSUED (AS OF DECEMBER 31, 2001)

| Area                        | Initially Issued |            |              |            | Currently Issued (as of December 31, 2001) |            |              |            |
|-----------------------------|------------------|------------|--------------|------------|--|------------|--------------|------------|
|                             | Alaskan          |            | Non-Alaskan  |            | Alaskan                                    |            | Non-Alaskan  |            |
|                             | # of Persons     | QS Units   | # of Persons | QS Units   | # of Persons                               | QS Units   | # of Persons | QS Units   |
| AI                          | 49               | 7,112,625  | 87           | 24,405,551 | 37   | 10,229,978 | 59           | 21,681,457 |
| BS                          | 62               | 7,090,226  | 82           | 11,514,928 | 57   | 7,937,741  | 58           | 10,800,327 |
| CG                          | 395              | 43,422,477 | 247          | 68,055,072 | 263  | 47,314,070 | 170          | 64,290,851 |
| SE                          | 466              | 42,774,622 | 247          | 23,734,199 | 308  | 42,510,629 | 171          | 23,517,547 |
| WG                          | 107              | 8,523,462  | 125          | 27,562,419 | 77   | 9,554,626  | 97           | 26,472,610 |
| WY                          | 250              | 18,494,619 | 205          | 34,938,242 | 155  | 18,508,987 | 140          | 34,709,501 |
| <b>Total Unique Persons</b> | <b>720</b>       |            | <b>332</b>   |            | <b>561</b>                                 |            | <b>311</b>   |            |

**Notes to Table:**

- “Initially Issued” means QS that is initially issued to its first holder. Initial issuance was accomplished primarily at the beginning of the IFQ program but continued occur as a result of adjudicated appeals.
- Designation of “Alaskan” or “Non-Alaskan” is premised on holder’s self-reported business mailing address; RAM makes no effort to verify residency.
- Changes over time between “Alaskan” and “Non-Alaskan” QS holdings are the result both of QS transfers and of QS holder’s address changes.
- Total QS units for a species/area may differ from published QS pool sizes as a result of QS units not assigned to any person (for example, units in reserve or revoked mid-year).
- The number of QS holders is not additive across areas or species. “Unique Total” represents the unique number of QS holders for each species.
- Additional information on changes in QS holdings and consolidation in the halibut and sablefish fisheries can be found on our web site at: <www.fakr.noaa.gov>.
- Persons without addresses are excluded.



## Transfer Eligibility Certificates

Eligibility to receive catcher vessel QS by transfer is restricted to those persons who received QS by initial issuance and those individuals who can demonstrate that they have served as a member of the harvesting crew in any U.S. fishery for no fewer than 150 days. Those individuals are designated as “IFQ Crewmembers” and receive Transfer Eligibility Certificates (TECs) from RAM. Eligibility to receive processor QS by transfer also requires approval of a TEC application, although both

individuals and non-individuals may become eligible.

The following table displays the total number of TECs issued to IFQ Crewmembers, by residence category, since the inception of the program. It also shows how many of those IFQ Crewmembers were holding QS at the end of 2001.

TABLE III-G: SUMMARY OF TEC (“IFQ CREWMEMBER”) ISSUANCE (‘94 - ‘01) AND  
“CREWMEMBERS” HOLDING QS AS OF YEAR-END 2001

| Claimed Residency | “Crewmember” TECs Issued<br>(‘94 - ‘01) | “Crewmembers” Holding QS/IFQ at Year-<br>End 2001 |
|-------------------|---|---|
| Alaskan           | 1,578                                   | 728   |
| Non-Alaskan       | 610                                     | 247   |
| <b>Total</b>      | <b>2,188</b>                            | <b>975</b>  |

**Note to Table:**

- Designation of "Alaskan" versus "non-Alaskan" is premised upon the most recent address provided by the applicants. RAM makes no attempt to determine, or to verify, a person's state of legal residence.
- Persons without addresses are excluded.

### Quota Acquired by “IFQ Crewmembers” by Species, Area, and Residence Category

The following table displays “Alaskan” and “Non-Alaskan” IFQ Crewmember holdings of QS as of the end of 2001 (as expressed in 2001 IFQ pound equivalents and as a percentage of the 2001 area TACs).

**TABLE III-H: QUOTA HELD BY “IFQ CREWMEMBERS” BY SPECIES, AREA, AND RESIDENCE CATEGORY AT YEAR-END 2001**

| Species/Area     |                        | “Alaskan” IFQ Pounds | “Non-Alaskan” IFQ Pounds | Total 2001 IFQ Pounds | Percent of Area TAC |
|------------------|------------------------|----------------------|--------------------------|-----------------------|---------------------|
| <b>Halibut</b>   | 2C                     | 1,570,458            | 476,151                  | 2,046,609             | 23.3%               |
|                  | 3A                     | 2,660,571            | 1,259,789                | 3,920,360             | 17.9%               |
|                  | 3B                     | 1,811,171            | 1,148,728                | 2,959,899             | 17.9%               |
|                  | 4A                     | 671,252              | 459,302                  | 1,130,554             | 22.7%               |
|                  | 4B                     | 299,694              | 734,052                  | 1,033,746             | 26.3%               |
|                  | 4C                     | 153,066              | 58,803                   | 211,869               | 20.9%               |
|                  | 4D                     | 42,312               | 254,372                  | 296,684               | 20.9%               |
|                  | <b>Halibut Total</b>   | <b>7,208,524</b>     | <b>4,391,197</b>         | <b>11,601,722</b>     | <b>19.8%</b>        |
| <b>Sablefish</b> | AI                     | 37,954               | 221,020                  | 258,974               | 7.8%                |
|                  | BS                     | 88,853               | 50,175                   | 139,028               | 10.1%               |
|                  | CG                     | 366,262              | 509,453                  | 875,715               | 9.2%                |
|                  | SE                     | 668,663              | 570,515                  | 1,239,178             | 16.7%               |
|                  | WG                     | 157,625              | 174,148                  | 331,773               | 9.4%                |
|                  | WY                     | 136,538              | 215,590                  | 352,128               | 8.9%                |
|                  | <b>Sablefish Total</b> | <b>1,455,895</b>     | <b>1,740,901</b>         | <b>3,196,796</b>      | <b>11.0%</b>        |

**Notes to Table:**

- An “IFQ Crewmember” is an individual who did not receive QS/IFQ by initial issuance, but who applied for, and was issued, a TEC and subsequently received QS by transfer.
- The designation of “Alaskan” and “Non-Alaskan” is premised upon the address provided by the most recent address provided by the applicants. RAM makes no attempt to determine, or to verify, a person’s state of legal residence.
- Pounds are derived from QS held and are not adjusted.
- TAC amounts referenced in TABLE I-A
- Persons without addresses are excluded.

## **Liens Against QS**

Since mid-1995, RAM has informally recorded liens against QS on behalf of creditors. Although there is no legal requirement that liens must be so filed and these filings do not legally perfect a creditor's interests in the QS, most lending institutions take advantage of the voluntary service.

The following table shows, by species and types of lienholders, the number of liens that are currently recorded by RAM. Note that the table displays the number of liens that have been filed against identifiable QS ranges (blocks, ranges of unblocked, QS etc.), and not against QS holders.

**TABLE III-I: LIENS AGAINST QS RANGES RECORDED BY RAM AS OF YEAR-END 2001**

| <b>Type of Lienholder</b>             | <b>Halibut</b> | <b>Sablefish</b> | <b>Total Liens</b> |
|---------------------------------------|----------------|------------------|--------------------|
| Private Banks (including CFAB)        | 903            | 504              | <b>1,407</b>       |
| State of Alaska (Div. Of Investments) | 211            | 65               | <b>276</b>         |
| State of Alaska/WA (Child Support)    | 22             | 9                | <b>31</b>          |
| Private Lenders (other than Banks)    | 246            | 120              | <b>366</b>         |
| CDQ Groups                            | 47             | 5                | <b>52</b>          |
| NMFS Financial Services Branch        | 187            | 75               | <b>262</b>         |
| Internal Revenue Service              | 74             | 8                | <b>82</b>          |
| <b>Total - All Recorded Liens</b>     | <b>1,690</b>   | <b>786</b>       | <b>2,476</b>       |

**Note to Table:** Table displays liens voluntarily recorded by RAM; liens may be recorded in other venues as well.

## *CONSOLIDATION OF QS*

As was anticipated, as a result of transfer choices made by QS holders, there has been a consolidation of QS into the hands of fewer persons than who received the QS by initial issuance.

The following tables show, by area and size of holding, how transfer activities have resulted in the consolidation of QS.

Note that the reported numbers of persons holding QS that yields IFQ of differing amounts have changed from the report published in the 2000 Report to the Fleet. These minor changes result from two causes: 1) the table is updated to include those who received their QS for the first time during 2000 and 2001 (as a result of appeal determinations and settlements); and 2) the table displays number QS holders using 2001 IFQ pound equivalents (the 2000 Report was based on 1999 IFQ pound equivalents).

**TABLE III-J: CONSOLIDATION OF HALIBUT QS - INITIAL ISSUANCE THROUGH 12/31/01**  
**(NUMBERS OF PERSONS HOLDING HALIBUT QS BY AREA AND SIZE OF HOLDINGS, EXPRESSED IN 2001 IFQ POUNDS)**

| Area      | Size of Holding<br>(*01 IFQ Pounds) | Number of<br>Initial Issuees | Holders as of<br>End of 1996 | Holders as of<br>End of 1997 | Holders as of<br>End of 1998 | Holders as of<br>End of 1999 | Holders as of<br>End of 2000 | Holders as of<br>End of 2001 |
|-----------|-------------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|
| <b>2C</b> | 3,000 or less                       | 1,537                        | 1,134                        | 980                          | 929                          | 880                          | 846                          | 803                          |
|           | 3,001-10,000                        | 621                          | 499                          | 500                          | 501                          | 482                          | 475                          | 468                          |
|           | 10,001-25,000                       | 206                          | 229                          | 221                          | 209                          | 212                          | 209                          | 208                          |
|           | over 25,000                         | 23                           | 33                           | 40                           | 46                           | 49                           | 52                           | 55                           |
|           | <b>2C Total:</b>                    | <b>2,387</b>                 | <b>1,895</b>                 | <b>1,741</b>                 | <b>1,685</b>                 | <b>1,623</b>                 | <b>1,582</b>                 | <b>1,534</b>                 |
| <b>0</b>  | 3,000 or less                       | 1,834                        | 1,420                        | 1,252                        | 1,161                        | 1,084                        | 1,030                        | 981                          |
|           | 3,001-10,000                        | 658                          | 510                          | 506                          | 501                          | 487                          | 487                          | 489                          |
|           | 10,001-25,000                       | 338                          | 337                          | 329                          | 330                          | 328                          | 326                          | 321                          |
|           | over 25,000                         | 240                          | 248                          | 251                          | 250                          | 257                          | 255                          | 256                          |
|           | <b>3A Total:</b>                    | <b>3,070</b>                 | <b>2,515</b>                 | <b>2,338</b>                 | <b>2,242</b>                 | <b>2,156</b>                 | <b>2,098</b>                 | <b>2,047</b>                 |
| <b>3B</b> | 3,000 or less                       | 441                          | 313                          | 234                          | 200                          | 177                          | 166                          | 148                          |
|           | 3,001-10,000                        | 253                          | 186                          | 138                          | 123                          | 106                          | 95                           | 89                           |
|           | 10,001-25,000                       | 178                          | 140                          | 147                          | 148                          | 135                          | 140                          | 139                          |
|           | over 25,000                         | 183                          | 185                          | 190                          | 194                          | 212                          | 208                          | 209                          |
|           | <b>3B Total:</b>                    | <b>1,055</b>                 | <b>824</b>                   | <b>709</b>                   | <b>665</b>                   | <b>630</b>                   | <b>609</b>                   | <b>585</b>                   |

**Notes to Table:**

Halibut data do not include Area 4E; there is no IFQ allocation for that area.

- The area data in the table are not additive; QS holders may (and many do) hold QS in more than one administrative area for both halibut and sablefish.

TABLE III-J (CONTINUED): CONSOLIDATION OF HALIBUT QS - INITIAL ISSUANCE THROUGH 12/31/01 (NUMBERS OF PERSONS HOLDING HALIBUT QS BY AREA AND SIZE OF HOLDINGS, EXPRESSED IN 2001 IFQ POUNDS)

| Area | Size of Holding<br>(‘00 IFQ Pounds) | Number of<br>Initial Issuees | Holders as of<br>End of 1996 | Holders as of<br>End of 1997 | Holders as of<br>End of 1998 | Holders as of<br>End of 1999 | Holders as of<br>End of 2000 | Holders as of<br>End of 2001 |
|------|-------------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|
| 4A   | 3,000 or less                       | 266                          | 201                          | 167                          | 144                          | 127                          | 115                          | 99                           |
|      | 3,001-10,000                        | 124                          | 95                           | 76                           | 75                           | 69                           | 60                           | 56                           |
|      | 10,001-25,000                       | 81                           | 72                           | 68                           | 66                           | 71                           | 71                           | 74                           |
|      | over 25,000                         | 58                           | 67                           | 68                           | 69                           | 70                           | 69                           | 67                           |
|      | <b>4A Total:</b>                    | <b>529</b>                   | <b>435</b>                   | <b>379</b>                   | <b>354</b>                   | <b>337</b>                   | <b>315</b>                   | <b>296</b>                   |
| 4B   | 3,000 or less                       | 25                           | 20                           | 19                           | 17                           | 12                           | 12                           | 11                           |
|      | 3,001-10,000                        | 41                           | 37                           | 32                           | 30                           | 28                           | 26                           | 24                           |
|      | 10,001-25,000                       | 44                           | 41                           | 32                           | 32                           | 27                           | 26                           | 27                           |
|      | over 25,000                         | 42                           | 43                           | 47                           | 45                           | 50                           | 49                           | 50                           |
|      | <b>4B Total:</b>                    | <b>152</b>                   | <b>141</b>                   | <b>130</b>                   | <b>124</b>                   | <b>117</b>                   | <b>113</b>                   | <b>112</b>                   |
| 4C   | 3,000 or less                       | 20                           | 19                           | 20                           | 17                           | 17                           | 16                           | 12                           |
|      | 3,001 - 10,000                      | 29                           | 28                           | 24                           | 22                           | 21                           | 19                           | 14                           |
|      | 10,001 - 25,000                     | 20                           | 20                           | 20                           | 19                           | 19                           | 20                           | 21                           |
|      | over 25,000                         | 11                           | 13                           | 13                           | 14                           | 14                           | 14                           | 14                           |
|      | <b>4C Total:</b>                    | <b>80</b>                    | <b>80</b>                    | <b>77</b>                    | <b>72</b>                    | <b>71</b>                    | <b>69</b>                    | <b>61</b>                    |
| 4D   | 3,000 or less                       | 9                            | 8                            | 7                            | 6                            | 5                            | 4                            | 4                            |
|      | 3,001 - 10,000                      | 20                           | 18                           | 15                           | 12                           | 12                           | 10                           | 9                            |
|      | 10,001 - 25,000                     | 23                           | 27                           | 18                           | 18                           | 13                           | 16                           | 13                           |
|      | over 25,000                         | 16                           | 15                           | 19                           | 20                           | 23                           | 22                           | 24                           |
|      | <b>4D Total:</b>                    | <b>68</b>                    | <b>68</b>                    | <b>59</b>                    | <b>56</b>                    | <b>53</b>                    | <b>52</b>                    | <b>50</b>                    |
| ALL  | 3,000 or less                       | 2,632                        | 2,233                        | 1,956                        | 1,855                        | 1,748                        | 1,686                        | 1,610                        |
|      | 3,001 - 10,000                      | 1,138                        | 927                          | 899                          | 892                          | 860                          | 851                          | 849                          |
|      | 10,001 - 25,000                     | 586                          | 580                          | 562                          | 548                          | 557                          | 551                          | 537                          |
|      | over 25,000                         | 472                          | 487                          | 496                          | 500                          | 512                          | 520                          | 536                          |
|      | <b>Total All Areas</b>              | <b>4,828</b>                 | <b>4,227</b>                 | <b>3,913</b>                 | <b>3,795</b>                 | <b>3,677</b>                 | <b>3,610</b>                 | <b>3,532</b>                 |

**Notes to Table:**

- Halibut data do not include Area 4E; there is no IFQ allocation for that area.
- The area data in the table is not additive; QS holders may (and many do) hold QS in more than one administrative area for both halibut and sablefish.

TABLE III-K: CONSOLIDATION OF SABLEFISH QS -- INITIAL ISSUANCE THROUGH 12/31/01 (NUMBERS OF PERSONS  
HOLDING QS BY AREA AND SIZE OF HOLDINGS, EXPRESSED IN 2001 IFQ POUNDS)

| Area | Size of Holding<br>(*01 IFQ Pounds) | Number of<br>Initial Issues | Holders as of<br>End of 1996 | Holders as of<br>End of 1997 | Holders as of<br>End of 1998 | Holders as of<br>End of 1999 | Holders as of<br>End of 2000 | Holders as of<br>End of 2001 |
|------|-------------------------------------|-----------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|
| AI   | 5,000 or less                       | 60                          | 55                           | 49                           | 47                           | 45                           | 37                           | 35                           |
|      | 5,001-10,000                        | 20                          | 19                           | 18                           | 19                           | 19                           | 19                           | 15                           |
|      | 10,001-25,000                       | 21                          | 23                           | 24                           | 20                           | 20                           | 20                           | 19                           |
|      | over 25,000                         | 34                          | 33                           | 33                           | 33                           | 28                           | 28                           | 28                           |
|      | <b>AI Total:</b>                    | <b>135</b>                  | <b>130</b>                   | <b>124</b>                   | <b>119</b>                   | <b>112</b>                   | <b>104</b>                   | <b>97</b>                    |
| BS   | 5,000 or less                       | 92                          | 84                           | 78                           | 76                           | 76                           | 69                           | 70                           |
|      | 5,001-10,000                        | 16                          | 16                           | 18                           | 18                           | 18                           | 16                           | 15                           |
|      | 10,001-25,000                       | 23                          | 22                           | 19                           | 19                           | 18                           | 19                           | 17                           |
|      | over 25,000                         | 13                          | 13                           | 15                           | 15                           | 15                           | 15                           | 15                           |
|      | <b>BS Total:</b>                    | <b>144</b>                  | <b>135</b>                   | <b>130</b>                   | <b>128</b>                   | <b>127</b>                   | <b>119</b>                   | <b>117</b>                   |
| CG   | 5,000 or less                       | 362                         | 301                          | 252                          | 244                          | 233                          | 224                          | 212                          |
|      | 5,001-10,000                        | 69                          | 53                           | 56                           | 54                           | 48                           | 44                           | 44                           |
|      | 10,001-25,000                       | 85                          | 77                           | 63                           | 58                           | 55                           | 56                           | 62                           |
|      | over 25,000                         | 125                         |                              | 121                          | 121                          | 122                          | 124                          | 124                          |
|      | <b>CG Total:</b>                    | <b>641</b>                  | <b>551</b>                   | <b>492</b>                   | <b>477</b>                   | <b>458</b>                   | <b>448</b>                   | <b>442</b>                   |
| SE   | 5,000 or less                       | 388                         | 301                          | 247                          | 224                          | 207                          | 206                          | 195                          |
|      | 5,001-10,000                        | 104                         | 82                           | 78                           | 78                           | 77                           | 73                           | 71                           |
|      | 10,001-25,000                       | 134                         | 138                          | 134                          | 129                          | 125                          | 119                          | 122                          |
|      | over 25,000                         | 86                          | 88                           | 90                           | 93                           | 95                           | 98                           | 98                           |
|      | <b>SE Total:</b>                    | <b>712</b>                  | <b>609</b>                   | <b>549</b>                   | <b>524</b>                   | <b>504</b>                   | <b>496</b>                   | <b>486</b>                   |

Note to Table: not additive; QS holders may (and many do) hold QS in more than one administrative area for both halibut and sablefish.

The area data in the tables are

TABLE III-K (CONTINUED): CONSOLIDATION OF SABLEFISH QS -- INITIAL ISSUANCE THROUGH 12/31/01 (NUMBERS OF PERSONS  
HOLDING QS BY AREA AND SIZE OF HOLDINGS, EXPRESSED IN 2001 IFQ POUNDS)

| Area | Size of Holding<br>('01 IFQ Pounds) | Number of<br>Initial Issues | Holders as of<br>End of 1996 | Holders as of<br>End of 1997 | Holders as of<br>End of 1998 | Holders as of<br>End of 1999 | Holders as of<br>End of 2000 | Holders as of<br>End of 2001 |
|------|-------------------------------------|-----------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|
| WG   | 5,000 or less                       | 124                         | 113                          | 94                           | 92                           | 91                           | 83                           | 86                           |
|      | 5,001-10,000                        | 40                          | 34                           | 34                           | 31                           | 31                           | 29                           | 27                           |
|      | 10,001-25,000                       | 36                          | 31                           | 32                           | 29                           | 26                           | 28                           | 29                           |
|      | over 25,000                         | 31                          | 33                           | 34                           | 36                           | 37                           | 36                           | 35                           |
|      | <b>WG Total:</b>                    | <b>231</b>                  | <b>211</b>                   | <b>194</b>                   | <b>188</b>                   | <b>185</b>                   | <b>176</b>                   | <b>177</b>                   |
| WY   | 5,000 or less                       | 298                         | 237                          | 199                          | 187                          | 167                          | 156                          | 151                          |
|      | 5,001-10,000                        | 52                          | 48                           | 45                           | 48                           | 45                           | 45                           | 43                           |
|      | 10,001-25,000                       | 59                          | 60                           | 56                           | 57                           | 56                           | 49                           | 54                           |
|      | over 25,000                         | 45                          | 47                           | 50                           | 49                           | 50                           | 53                           | 52                           |
|      | <b>BS Total:</b>                    | <b>454</b>                  | <b>392</b>                   | <b>350</b>                   | <b>341</b>                   | <b>318</b>                   | <b>303</b>                   | <b>300</b>                   |
| ALL  | 5,000 or less                       | 537                         | 492                          | 435                          | 413                          | 402                          | 395                          | 382                          |
|      | 5,001 - 10,000                      | 105                         | 99                           | 108                          | 113                          | 109                          | 107                          | 105                          |
|      | 10,001 - 25,000                     | 151                         | 148                          | 149                          | 139                          | 141                          | 137                          | 152                          |
|      | over 25,000                         | 258                         | 255                          | 248                          | 254                          | 250                          | 251                          | 250                          |
|      | <b>Total All Areas</b>              | <b>1,051</b>                | <b>994</b>                   | <b>940</b>                   | <b>919</b>                   | <b>902</b>                   | <b>890</b>                   | <b>889</b>                   |

**Note to Table:** The area data in the tables are not additive; QS holders may (and many do) hold QS in more than one administrative area for both halibut and sablefish.

## ***VESSEL PARTICIPATION***

Another view of consolidation that could occur under IFQ management is provided by examining the number of vessels participating and to compare those numbers with earlier seasons. The table below displays the degree of “consolidation” of vessels that has occurred under the IFQ program.

Note that in the columns that display the number of vessels participating by area, the same vessels may have participated in the fishery in different areas. The final row of data shows the total number of unique vessels that participated in the fisheries in any regulatory area.

TABLE III-L: **VESSELS PARTICIPATING IN IFQ HALIBUT FISHERY; *ALL VESSELS***  
**LANDING HALIBUT, BY AREA 1992 - 2001 SEASONS**

| Species/Area      | Before IFQ Program |              |              | Last Seven IFQ Seasons |              |              |              |              |              |              |
|-------------------|--------------------|--------------|--------------|------------------------|--------------|--------------|--------------|--------------|--------------|--------------|
|                   | '92                | '93          | '94          | '95                    | '96          | '97          | '98          | '99          | '00          | '01          |
| <b>Halibut</b> 2C | 1,775              | 1,562        | 1,461        | 1,105                  | 1,029        | 993          | 836          | 840          | 816          | 733          |
| 3A                | 1,924              | 1,529        | 1,712        | 1,145                  | 1,104        | 1,076        | 899          | 892          | 839          | 802          |
| 3B                | 478                | 401          | 320          | 332                    | 350          | 357          | 325          | 323          | 340          | 327          |
| 4A                | 190                | 165          | 176          | 140                    | 147          | 142          | 120          | 121          | 125          | 118          |
| 4B                | 82                 | 65           | 74           | 57                     | 64           | 69           | 47           | 51           | 55           | 52           |
| 4C                | 62                 | 58           | 64           | 35                     | 41           | 46           | 30           | 36           | 35           | 28           |
| 4D                | 26                 | 19           | 39           | 27                     | 33           | 33           | 22           | 29           | 32           | 31           |
| <b>All Unique</b> | <b>3,452</b>       | <b>3,393</b> | <b>3,450</b> | <b>2,057</b>           | <b>1,962</b> | <b>1,925</b> | <b>1,601</b> | <b>1,613</b> | <b>1,568</b> | <b>1,451</b> |

TABLE III-M: **VESSELS PARTICIPATING IN IFQ SABLEFISH FISHERY; *ALL VESSELS***  
**LANDING SABLEFISH, BY AREA 1992 - 2001 SEASONS**

| Species/Area        | Before IFQ Program |            |              | Last Seven IFQ Seasons |            |           |            |            |            |            |
|---------------------|--------------------|------------|--------------|------------------------|------------|-----------|------------|------------|------------|------------|
|                     | '92                | '93        | '94          | '95                    | '96        | '97       | '98        | '99        | '00        | '01        |
| <b>Sablefish</b> AI | 50                 | 65         | 61           | 67                     | 64         | 56        | 39         | 42         | 43         | 39         |
| BS                  | 100                | 85         | 61           | 68                     | 64         |           | 45         | 44         |            | 42         |
| CG                  | 613                | 500        | 602          | 347                    | 312        |           | 260        | 244        |            | 225        |
| SE                  | 510                | 393        | 488          | 391                    | 368        | 55        | 309        | 295        | 53         | 266        |
| WG                  | 126                | 47         | 30           | 101                    | 97         | 291       | 81         | 77         | 228        | 74         |
| WY                  | 275                | 209        | 265          | 243                    | 230        | 339       | 188        | 172        | 280        | 146        |
| <b>All Unique</b>   | <b>1,166</b>       | <b>969</b> | <b>1,191</b> | <b>616</b>             | <b>565</b> | <b>91</b> | <b>530</b> | <b>477</b> | <b>463</b> | <b>450</b> |



***IFQ LOANS***  
***THE NORTH PACIFIC LOAN PROGRAM***

Beginning in 1998, the NMFS Financial Services Branch in Seattle, Washington, began making loans to purchase or refinance QS for “Entry-Level Fishermen” and “Fishermen Who Fish From Small Vessels” under the authority of the MSA’s provisions for IFQ loans.

1999, 2000, and 2001 budgets, which made \$5,000,000 available for the loans during each fiscal year.

The following table displays, by borrower’s state of residence, the number of loans and amounts approved during these fiscal years:

Funding for a loan guarantee fund (which will eventually be drawn from receipts from IFQ fee collection) was provided in the Fiscal Year 1998,

**TABLE III-N: STATUS OF NMFS LOANS FOR PURCHASE OF QS/IFQ**

| <b>Borrower’s State of<br/>Residence</b> | <b>FY 1998</b> |               | <b>FY 1999</b> |               | <b>FY 2000</b> |               | <b>FY 2001</b> |               | <b>Total      Total Amount</b> |              |
|--|----------------|---------------|----------------|---------------|----------------|---------------|----------------|---------------|--------------------------------|--------------|
|  | <b>Loan</b>    | <b>Amount</b> | <b>Loan</b>    | <b>Amount</b> | <b>Loan</b>    | <b>Amount</b> | <b>Loan</b>    | <b>Amount</b> |                                |              |
| Alaska                                   | 30             | \$2,504,747   | 29             | \$2,541,881   | 23             | \$2,852,759   | 17             | \$2,386,97    | 99                             | \$10,286,365 |
| Washington                               | 14             |               | 15             |               | 8              |               | 8              | \$1,570,91    | 45                             | \$6,584,211  |
| Oregon                                   | 1              | \$169,336     | 3              | \$205,800     | 3              | \$393,000     | 4              | \$474,955     | 11                             | \$1,243,091  |
| Georgia                                  | 1              | \$250,000     |                |               | 2              | \$292,871     |                |               | 3                              | \$542,871    |
| Idaho                                    | 1              | \$200,000     |                |               | 1              | \$80,000      | 1              | \$99,564      | 3                              | \$379,564    |
| Michigan                                 |                |               | 1              | \$61,500      |                |               |                |               | 1                              | \$61,500     |
| Utah                                     | 1              | \$114,808     |                |               |                |               |                |               | 1                              | \$114,808    |
| Colorado                                 |                |               |                |               | 1              | \$60,000      |                |               | 1                              | \$60,000     |
| California                               |                |               |                |               | 1              | \$260,000     |                |               | 1                              | \$260,000    |
| Nevada                                   |                |               |                |               |                |               | 1              | \$200,000     | 1                              | \$200,000    |
| Wisconsin                                |                |               |                |               |                |               | 1              | \$65,089      | 1                              | \$65,089     |
| Arizona                                  |                |               |                |               |                |               | 1              | \$185,000     | 1                              | \$185,000    |
| Total                                    | 48             | \$4,999,999   | 48             | \$5,000,000   | 39             | \$5,000,000   | 33             | \$4,982,50    | 168                            |              |
|  |                |               |                |               |                |               |                |               |                                | \$19,982,499 |

**Additional information on  
the loan program may be  
obtained at:**

**Financial Service Branch, NW Region  
7600 Sand Point Way NE  
BIN C15700, Building 1  
Seattle, WA 98115**

**Phone: (206) 526-6122  
Fax: (206) 526-6306**

## APPENDIX

### ***SEABIRD/LOGLINE FISHERY INTERACTIONS - UPDATES (INFORMATION PROVIDED BY NMFS PROTECTED RESOURCES DIVISION)***

#### **The North Pacific Fishery Management Council Takes Final Action to Revise Seabird Avoidance Regulations Based on Research by the Washington Sea Grant Program (WSGP):**

The North Pacific Fishery Management Council (Council) took final action on recommended changes to the existing seabird measures in December 2001. The proposed changes were based on results from a unique cooperative research effort that included fishery scientists from the Washington Sea Grant Program and the University of Washington, longline fishers, NOAA Fisheries, U.S Fish and Wildlife Service, and the Council. Scientists worked on commercial fishing vessels and this collaborative process allowed for buy-in from the industry earlier on in the process and helped create a sense of ownership in the project, and most importantly, in the results. This research represents the best scientific information available.

The Council recommended that the proposed requirements would be based on area fished, vessel length, vessel type, and gear type. This would address the varying characteristics found in the fishing operations of the very diverse demersal hook-and-line fleet for groundfish and Pacific halibut off Alaska.

Research results indicated that ***using paired streamer lines can reduce seabird bycatch by more than 90%***. Fishermen who are already using paired lines on their vessels are reporting fewer birds being caught. Your use of effective measures is critical to the reduction of seabird bycatch.

**Revised Regulations:** See the attached table for the Council's recommendations. NMFS anticipates that revisions to regulations will be effective in mid-2002. In the meantime, existing seabird avoidance regulations at 50 CFR 679.24 and 679.42 are in effect. For detailed information about the new requirements, see materials that were mailed

to you with your 2002 IFQ permit, visit our website at:

[http://www.fakr.noaa.gov/newsreleases/2001/01\\_22\\_akr.htm](http://www.fakr.noaa.gov/newsreleases/2001/01_22_akr.htm)

or contact Kim Rivera at (907) 586-7424 or [Kim.Rivera@noaa.gov](mailto:Kim.Rivera@noaa.gov)

**Free Streamer Lines!** To prepare for these revised requirements, get your free streamer lines now! See materials mailed with your 2002 IFQ permit or visit our website at:

<http://www.fakr.noaa.gov/protectedresources/seabirds/streamers.htm>

**Incidental Take Limits for the endangered Short-tailed Albatross:** The USFWS anticipates up to 2 short-tailed albatross could be taken during the 2-year period of 2002 and 2003 as a result of the Pacific halibut fishery off Alaska. No short-tailed albatross were reported taken in 2001 in the halibut fishery off Alaska.

The USFWS anticipated up to 4 short-tailed albatross could be taken during the 2-year period of 1999 and 2000 as a result of the groundfish longline fisheries in the BSAI and GOA. This incidental take limit has been extended into 2002. No short-tailed albatross were reported taken in 1999, 2000, or 2001 in the groundfish longline fisheries off Alaska.

All observations and takes of short-tailed albatross are to be reported to the U.S. Fish & Wildlife Service (see below). Any short-tailed albatross brought aboard dead must be retained, frozen, and shipped immediately to: Field Supervisor, U.S. Fish & Wildlife Service, Ecological Services, 605 W. 4<sup>th</sup> Ave. Rm. G62, Anchorage, AK 99501. They can be contacted by phone (800) 272-4174 or fax (907) 271-2786.

**2002 Logbooks:** Please continue to record in your logbooks (catcher vessel groundfish/IFQ daily fishing or catcher/processor groundfish/IFQ daily cumulative production) what type of seabird avoidance gear you use for each set. These codes were clarified via NMFS Information Bulletin 01-54 [http://www.fakr.noaa.gov/infobulletins/2001\\_infobulletins/seabirdcodes.html](http://www.fakr.noaa.gov/infobulletins/2001_infobulletins/seabirdcodes.html)

Please use the following codes in your logbooks:

- 1 = Bird Streamer Line.
- 2 = Buoy bag, bird bag, or other float device.
- 3 = Lining tube or line shooter.
- 4 = Any combination of 1,2, and/or 3.
- 9 = No bird deterrent device deployed.
- 0 = Night fishing.

NMFS will use this data to make improved estimates of seabird bycatch levels.

Please report observations of interactions with the Shorttailed Albatross to the U.S. Fish & Wildlife Service: Use the form mailed to you with you 202 IFQ permit (or available on your website). The U.S. Fish and Wildlife Service is interested in where these birds are being encountered

For additional information, visit the NMFS Alaska Region web site at: <http://www.fakr.noaa.gov/protectedresources/seabirds.html> or contact Kim Rivera, Alaska Region Seabird Coordinator, at (907) 586-7424.

***COUNCIL’S RECOMMENDATIONS FOR SEABIRD AVOIDANCE REQUIREMENTS FOR  
VESSELS, BASED ON AREA, GEAR, AND VESSEL TYPE.***

| Location/Gear                                     | Vessel Type |  |   |   |  |                  |
|---|-------------|--|---|---|--|------------------|
|   | ≤ 26 ft LOA | >26 to 32 ft LOA<br>(with masts, poles,<br>or rigging) | >26 to 32 ft LOA<br>(without masts,<br>poles, or rigging) | >32 to 55 ft LOA<br>(without masts,<br>poles, or rigging) | >32 to 55 ft LOA<br>(with masts, poles,<br>or rigging) | > 55 ft LOA      |
| Inside  | Exempt      | Buoy with Performance Standard                         |   |   | Single Streamer  |                  |
| EEZ   |             | Single Streamer +<br>Other Device                      | Buoy w/Perf. Std. + Other Device                          |   | Single Streamer +<br>Other Device                      | Paired Streamers |
| IPHC Area 4E (halibut)<br>(0 to 3 nautical miles) |             | Exempt   |   | Buoy w/Perf. Std. +<br>Other Device                       |  |                  |
| Snap Gear   |             | Single Streamer<br>w/Mod. Perf. Std. +<br>Other Device | Buoy w/Perf. Std. + Other Device                          |   | Single Streamer w/Mod. Perf. Std. +<br>Other Device    |                  |

See website for description of performance standards.

<http://www.fakr.noaa.gov/protectedresources/seabirds/avoidanceaction.pdf>

Other device = added weights to groundline, buoy (as above), strategic offal discharge, streamer line

The following measures or methods may be used on a vessel, but must be accompanied by the applicable seabird avoidance requirements: night-setting, line shooter, and lining.

## ***U.S. COAST GUARD SAFETY INSTRUCTIONS***

The Coast Guard offers a free, voluntary dockside examination program. A Commercial Fishing Vessel Safety Examiner will come to your vessel at *your* convenience. The examiner will examine your safety gear, look over the general condition of your vessel, and discuss emergency procedures with you and your crew.

If your vessel meets all Coast Guard requirements, a year-dated decal (valid for two years) will be issued. However, if it does not meet the requirements, the examiner will issue a work list so that you will know

exactly what you need to do and can correct the discrepancies.

That's all! No penalties, no enforcement action. Once the discrepancies are corrected, the examiner will come back to check the vessel over and issue the decal.

For more information, contact your local Marine Safety Office or Marine Safety Detachment.

### **Coast Guard Marine Safety Contacts**

| <b>Location</b> | <b>Phone Number</b> | <b>Location</b>           | <b>Phone Number</b> |
|-----------------|---------------------|---------------------------|---------------------|
| Anchorage       | (907) 271-6725      | Kodiak                    | (907) 486-5918      |
| Juneau          | (907) 463-2448      | Sitka                     | (907) 966-5454      |
| Kenai           | (907) 283-3292      | Valdez                    | (907) 835-7224      |
| Ketchikan       | (907) 225-4496      | Unalaska\<br>Dutch Harbor | (907) 581-3466      |

## ***INTERNAL REVENUE SERVICE TAX “TIPS”***

Although the authority was not exercised during 2001, it is generally conceded that the IRS may seize (and, in fact, has seized) QS from fishermen who, according to the IRS, are delinquent in paying their Federal taxes. Money derived from the sale (at auction) of the QS is first applied to the alleged tax debt; any balance is then returned to the erstwhile QS holder.

To avoid this from happening to QS holders in the future, the IRS has provided the following “Tax Tips” and has asked that they be shared with the IFQ fleet. According to the IRS:

✓ You can get help and forms in several different ways. If you need a form, call **1-800-TAX-FORM** between 6:30 a.m. and 4:30 p.m. during the week. If you have a fax machine, the IRS can fax you over 100 of the most requested forms and instructions. Just call **(703) 368-9694** from the telephone connected to the fax machine. If you need a question answered, call **1-800-829-1040** between 6:00 a.m. and 10:00 p.m. (Alaska time), Monday through Saturday. If you have access to the Internet, look up the IRS at **<[www.irs.ustreas.gov](http://www.irs.ustreas.gov)>**. You can get forms, instructions, publications, fact sheets, and answers to frequently asked questions.

✓ File your tax returns on time, even if you cannot pay all that you owe. For advice on how to get current and keep current on filing and paying your taxes, call **(907) 271-6387**. The IRS will help you work out appropriate payment options based upon your ability to pay. Ignoring your taxes may be tempting in the short run, but filing your tax returns timely and working out payment arrangements will be the least expensive to you over the long run.

✓ Do not ignore correspondence from the IRS. If you disagree with the billing or you have any questions, help is a phone call away. If you have tried to resolve the problem with the IRS and it will not go away, the IRS has a special advocate who can help cut through the red tape. To reach the Taxpayer Advocates’ office in your area, call **1-800-829-1040**, and ask for your local advocate.

## ***THE IFQ PROGRAM ON THE INTERNET***

The Alaska Region of NMFS maintains an Internet web site at [www.fakr.noaa.gov](http://www.fakr.noaa.gov). The site contains a wealth of information on fisheries and marine mammals in the North Pacific, including information from all Alaska Region divisions.

Additionally, links to other fishery agencies (the Council, Alaska Department of Fish and Game, State Commercial Fisheries Entry Commission (CFEC), IPHC, etc.) Are included.

IFQ program information can be found in the RAM section

**[www.fakr.noaa.gov/ram](http://www.fakr.noaa.gov/ram)**

of the regional home page, and includes:

- Historic and current-year IFQ and CDQ TACs and landing information;
- Information on transfer activities;
- Current Special Notices” on the program and its implementation;
- Latest RAM Report to the Fleet;
- Application forms and instructions (transfers, hired skipper, replacement, etc.);
- Links to research undertaken by the State of Alaska (CFEC);
- List of QS holders and the size of QS holding (including a subset of QS that can be “swept up” under the block program);
- Tables of QSPs and Use and Vessel Caps; and,
- A variety of other information (including other permit and license programs).

## ***AGENCY CONTACT NUMBERS***

If you have any questions of program and resource managers, the list of contacts below can point you in the right direction.

### ***Alaska Region, National Marine Fisheries Service***

| <b>Division/Agency</b>           | <b>Telephone</b> | <b>Facsimile</b> |
|----------------------------------|------------------|------------------|
| Regional Administrator           | 907-586-7221     | 907-586-7249     |
| Restricted Access Management     | 800-304-4846     | 907-586-7354     |
| Sustainable Fisheries Division   | 800-304-4846     | 907-586-7465     |
| Kodiak                           | 907-481-1780     | 907-481-1781     |
| Dutch Harbor                     | 807-581-2062     | 907-581-3356     |
| Protected Resources Division     | 907-586-7235     | 907-586-7012     |
| Office of Administrative Appeals | 800-304-4846     | 907-586-9361     |
| NOAA Enforcement                 |                  |                  |
| Enforcement Data Clerks          | 800-304-4846     | 907-586-7313     |
| Anchorage Enforcement            | 907-271-1823     | 907-271-4915     |
| Bellingham Enforcement           | 360-676-9268     | 360-733-4250     |
| Dutch Harbor Enforcement         | 907-581-2061     | 907-581-2064     |
| Homer Enforcement                | 907-235-2337     | 907-235-2209     |
| Kodiak Enforcement               | 907-486-3298     | 907-486-6868     |
| Ketchikan Enforcement            | 907-247-5804     | 907-247-5810     |
| Petersburg Enforcement           | 907-772-2285     | 907-772-2287     |
| Seward Enforcement               | 907-224-5348     | 907-224-5349     |
| Sitka Enforcement                | 907-747-6940     | 907-747-6541     |

### ***Other Important Agencies & Telephone Numbers***

|   |              |
|---|--------------|
| North Pacific Fishery Management Council                | 907-271-2809 |
| International Pacific Halibut Commission                | 206-634-1838 |
| State of Alaska, ADF&G (Commercial Fisheries)           | 907-465-4210 |
| State of Alaska, Commercial Fisheries Entry Commission  | 907-789-6160 |
| United States Coast Guard - Emergency Number            | 800-478-5555 |
| United States Coast Guard - Enforcement                 | 907-463-2289 |
| United States Coast Guard - Vessel Documentation Center | 800-799-8362 |
| United States Coast Guard - Vessel Safety               | 800-478-7369 |



## ***DESCRIPTION OF THE HALIBUT AND SABLEFISH IFQ PROGRAM***

### **A BRIEF HISTORY OF THE IFQ PROGRAM**

In December of 1991, the Council proposed an IFQ program as the best alternative to address problems associated with excess harvesting capacity in the Pacific halibut and sablefish longline fisheries off Alaska. The decision to propose an IFQ program resulted from years of discussion and debate about the best way to address the problems created by overcapitalization in the fisheries (sometimes expressed as "too many boats chasing too few fish"). These problems included short "derby" openings (in most areas, seasons lasted less than a week), lost gear (and resulting "ghost fishing"), gear conflicts, safety concerns, poor product quality, low ex-vessel prices, and a host of other issues.

The IFQ approach was chosen to provide fishermen with the authority to decide how much and what type of investment they wished to make to harvest the resource. By guaranteeing a certain amount of catch at the beginning of the season, and by extending the season over a period of eight months, those who held the IFQ could determine where and when to fish, how much gear to deploy, and how much overall investment in harvesting they would make.

One way to achieve the advantages of such a program was to insure the transferability of quota from one person to another. But concerns were expressed about allowing quota to be freely transferred. To address the fear that most of the quota could eventually be concentrated into very few hands (thus undermining the economies of fishery-dependent communities), and could be held by persons who do not fish (thus establishing a "landlord" class of quota holders), the Council designed a number of constraints to unrestricted transferability. This was done to ensure that the characteristics of the fleet that existed prior to the IFQ

program (an essentially "owner-operator" fleet of catcher vessels of various lengths) would not be fundamentally changed by the program.

Following further refinement, the Council's IFQ proposal was approved by the Secretary of Commerce and finally published in the Federal Register in November of 1993. The IFQ program is administered by the National Marine Fisheries Service, Restricted Access Management (RAM) Program.

### **GENERAL PROGRAM DESCRIPTION**

Under the IFQ program, eligible persons were issued QS based on halibut and sablefish landings made aboard vessels that they owned or leased during the late 1980's and in 1990. Applications for initial issuance of QS were received and processed by RAM. The application deadline was July 1994 and most applications were received in 1994. Issuance of QS to eligible applicants began in November of 1994.

To determine how many pounds of fish a QS holder may harvest during each year's fishing season (i.e., the person's annual IFQ), RAM first establishes the Quota Share Pool (QSP) for both species and each regulatory area. There are eight halibut regulatory areas and six sablefish regulatory areas. The QSP is the sum of all the QS units that have been issued in a given area for each species. The QSP is calculated annually (on or about January 31) and varies slightly from year to year due to administrative adjustments.

After fisheries managers determine what the annual Total Allowable Catch (TAC) will be, each QS holder's QS for the area is divided by that area's QSP and the resulting fraction is then multiplied by the TAC. This

equation yields the number of pounds of IFQ that a QS holder may harvest that year, before adjustments for the previous year’s fishing activity. Put simply, the above explanation can be expressed as follows:

$$QS \div QSP \times TAC = IFQ$$

Note that although a person's QS remains the same, and the QSP may vary by a slight amount from year to year, the TAC may change significantly on an annual basis, depending on the condition of the stocks. As the TAC rises, so does each person's IFQ; as it declines, each person's IFQ likewise decreases.

In this manner, the total annual TAC is divided up; those to whom IFQ permits have been issued may then harvest their share at any time during the eight-month IFQ halibut and sablefish seasons. Those who do not hold QS are generally excluded from the fisheries, although some very limited provisions for "leasing" freezer vessel IFQ exist.

**OTHER PROGRAM ELEMENTS**

As noted above, the Council took steps to insure that QS would not eventually be consolidated into a very few hands. To accomplish this goal, strict limits on how much QS can be held by any one person are imposed on QS holders (persons who received more than the "cap" by initial issuance were "grandfathered" in; however, they may not receive more QS by transfer). Refer to Section I for a break down of current QS Use and Vessel IFQ caps.

In addition to the caps, the Council has provided for QS blocking provisions. Under this program element, QS that originally yielded less than 20,000 pounds of IFQ (using the 1994 QSPs and TACs) was issued as a block, and such blocks may not be subdivided upon transfer. Further, no person may hold more than two blocks of QS for the same species in

any regulatory area (or one block and unblocked QS up to the cap). In this way, smaller amounts (blocks) of QS will always be available for those who wish to enter the fishery by obtaining QS by transfer.

To meet the goal of an owner-operated fleet, catcher vessel QS may only be transferred to individuals, and those individuals must be aboard the vessel when the fish are harvested and landed. In recognition of historical fishing practices, initial issuees may (with some exceptions) hire skippers to fish their annual IFQ. Currently, the QS holder must demonstrate that s/he holds at least a 20 percent ownership interest in the vessel upon which the IFQ is to be fished.

Quota share and the annual IFQ it yields are classified by species, vessel, and regulatory area. A variety of restrictions regarding harvesting and landing IFQ fish also exist. Although there is no space here to discuss these in detail, more information about program restrictions can be found in the IFQ regulations or by contacting RAM.

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***DO YOU KNOW THE FOLLOWING PERSONS?***

***IF SO, PLEASE HAVE THEM CONTACT RAM REGARDING QS/IFQ HOLDINGS.***

|                        |                   |                        |                    |                      |                          |
|------------------------|-------------------|------------------------|--------------------|----------------------|--------------------------|
| Anderson, Jeffrey      | Cothary, Lynden   | Harris, James E.       | Klokke, Alex       | Murphy, Kenneth      | Sturgulewsky, Bernard R. |
| Austin, Gary           | Crane, Lewis L.   | Harris, Rock           | Komon, Patricia    | Nebl, Olaus          | Thompson, John           |
| Barnes, James D.       | Crosby, James     | Hebbring, Wilford      | Kramp, Robert W.   | Noonan, Michael E.   | Thompson, Lewis          |
| Basargin, Ignaty       | Darnell, Rod      | Herbert, Joe S.        | Ladd, James        | Olis, Michael        | Turton, Edward           |
| Benton, Ron            | Dell, Kevin W.    | Hess, Joseph E.        | Lenning, Rick      | Olson, Daniel        | Vernon, Randall P.       |
| Bever, Reginald H.     | Doubt, Ronald     | Hickok, Julian E.      | Lewis, Charles A.  | Olson, Ronald        | Vickery, Douglas         |
| Bice, Carl             | Duncan, Johnny    | Hicks, Frank C.        | Likkel, Jill       | Pike, Jack           | Waggoner, Carl           |
| Bierria, Albert J. III | Eggertsen, Eric   | Higginbotham, Donna    | Lyon, Reuben       | Pitcher, Jerry       | Walker, Brian            |
| Bignell, Donald M.     | F/V Eastern, Inc  | Hok, Joseph            | McCann, Joseph W.  | Powell, David        | Walton, Randy            |
| Bilben, Hans M.        | Foreman, David    | Holden, Robert A.      | McLeod, Shawn K.   | Price, Ronald D.     | Wells, Dale A.           |
| Bourn, Lee             | Foye, David G.    | Holt, Charles W.       | McLinn, Kris B.    | Pullar, Lisa M.      | Whittern, William        |
| Brooks, Michael A.     | Frank, Jesse      | Howard, Christopher J. | Maddox, Rodney     | Quirk, Terry R.      | Williams, Danny A.       |
| Brosman, Wayne H.      | Frank, Oscar M.   | Hudson, Ernest H.      | Magnuson, William  | Reilly, Michael S.   | Woodruff, Deborah D.     |
| Brown, David A.        | Gardner, Pete     | Jewell, Dan            | Mahan, Thomas      | Richter, George M.   | Wright, Bill E.          |
| Buel, Greg             | Goodrich, Shelley | Jones, Marshall W.     | Malutin, Iver      | Rodgers, Jack        | Young, Lillian           |
| Buschur, Michael       | Gower, Mark       | Keaton, Dennis         | Mametiev, Kondrati | Scott-Annis, Roberta |                          |
| Carlson, Sam H.        | Griggs, Robert    | Kelly, Brian           | Miles, Ricarda     | Shaw, Donald         |                          |
| Chang, Joseph          | Haney, Marlin     | Kittess, Bruce         | Milligan, Bridget  | Somers, Brad         |                          |
| Chevalier, Marty       | Hanson, Richard   | Kizer, Stuart          | Munden, Dale       | Sorenson, Paul       |                          |